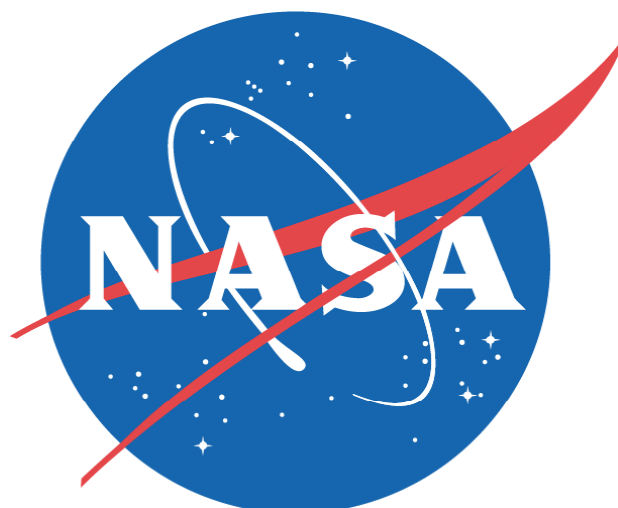


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

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**Subject: NASA Research Announcement (NRA) for R&A Investigations**

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**NASA Headquarters  
Office of Space Science (OSS)**

**Office Work Instruction**

# **NASA Research Announcement (NRA) for R&A Investigations**

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (10/26/2001)  
Dr. Earle K. Huckins  
Deputy Associate Administrator for Space Science

## Subject: NASA Research Announcement (NRA) for R&A Investigations

### DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/02/1999	<ul style="list-style-type: none"> <li>Initial "baseline" version of the OWI.</li> </ul>
Revision	A	05/10/1999	<ul style="list-style-type: none"> <li>Incorporates modifications responsive to NCRs #293, #302, #303, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.</li> </ul>
Revision	B	11/16/1999	<ul style="list-style-type: none"> <li>Incorporates revised list of disciplines into Section 2.3.</li> <li>Incorporates modifications from SSE Process Owner (e.g., NPG 7120.5 certification) into Section 5, Section 6, and Section 7.</li> <li>Revises set of quality records in Section 5 and Section 7.</li> <li>Revises quality-record information in Section 7.</li> <li>Incorporates recent terminology and format standardization.</li> </ul>
Revision	C	05/11/2001	<ul style="list-style-type: none"> <li>Incorporates new entries and new title of HCP3410-4B into Section 4.</li> <li>Incorporates url's for referenced documents into Section 4.</li> <li>Incorporates linkage with HQOWI7100-I003A "Support of NASA Research Opportunities" via addition of new steps in Section 5 and Section 6.</li> <li>Indicates linkage of specific paragraphs of NASA FAR Supplements with steps in Section 5 and Section 6.</li> <li>Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.</li> </ul>
Revision	D	10/26/2001	<ul style="list-style-type: none"> <li>Incorporates impact of OSS reorganization (effective 07/01/2001).</li> </ul>

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**1. PURPOSE**

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) generates and issues Broad Agency Announcements (BAA's) of solicitations of investigations in the category of NASA Research Announcements (NRA's), reviews and selects submitted proposals, and monitors and manages the resulting financial awards through to the end of their periods of performance.

**2. SCOPE AND APPLICABILITY**

- 2.1 One of the most important activities of a science manager in OSS is the solicitation and selection of research investigations for NASA funding. The distinguishing characteristic of all NASA BAA's is that they solicit ideas for basic research investigation, the end result of which is new knowledge and sometimes data that are to be made publicly available at the conclusion of the investigation.
- 2.2 NRA's solicit relatively low-cost (typically \$50,000 to \$200,000) supporting Research and Analysis (R&A) investigations for repetitive programs funded by NASA's on-going R&A budget. R&A support is used to help understand natural space phenomena and their related technologies, including theoretical studies and ground-based laboratory developments.
- 2.3 Most OSS NRA's are for basic research of a continuing nature in various science disciplines that are subject to revision in accordance with the evolving OSS science objectives.
- 2.4 Education and public-outreach programs are required components of all proposals submitted in response to OSS NRA's. Program Scientists are responsible for ensuring that NRA's contain appropriate education and public-outreach language that has been coordinated with the OSS Education and Public Outreach Director.
- 2.5 NRA's must conform to high standards for completeness, clarity, and style and must comply with applicable Federal Acquisition Regulations (FAR's) and NASA FAR Supplements (NFS's).
- 2.6 NRA's must be publicly announced in advance of their formal release and must be openly available to the public on their advertised release date.

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**2. SCOPE AND APPLICABILITY *(concluded)***

- 2.7 Proposals submitted in response to NRA's are subjected to full peer review for scientific, technical, fiscal, and programmatic merits.
- 2.8 An OSS Designated Selecting Official selects qualified proposals of merit that satisfy the advertised program requirements and that can be accommodated within the available program budget.
- 2.9 The OSS Executive Director for Science oversees the preparation, approval, and release of all OSS NRA's.
- 2.10 Basic research investigations do not lend themselves to specific performance or engineering specification. Consequently, standard Requests for Proposals (RFP's) are not used to solicit OSS research proposals.

**3. DEFINITIONS**

- 3.1 Code GK. Associate General Counsel for Contracts in the NASA Headquarters Office of the General Counsel.
- 3.2 Code HS. Program Operations Division of the NASA Headquarters Office of Procurement.
- 3.3 Code IS. Space Science and Aeronautics Division of the NASA Headquarters Office of External Relations.
- 3.4 Code S. NASA Headquarters Office of Space Science.
- 3.5 Code SE. Solar System Exploration Division of the NASA Headquarters Office of Space Science.
- 3.6 Code SS. Sun-Earth Connection Division of the NASA Headquarters Office of Space Science.
- 3.7 Code SZ. Astronomy and Physics Division of the NASA Headquarters Office of Space Science.

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**3. DEFINITIONS *(continued)***

- 3.8 Designated Program Official. The NASA official who may be designated by the Associate Administrator for Space Science to approve the release of an NRA (should the Associate Administrator for Space Science choose not to perform this function).
- 3.9 Designated Selecting Official. The NASA official designated by the Associate Administrator for Space Science to determine the source for award of a contract or grant.
- 3.10 GSFC. NASA's Goddard Space Flight Center.
- 3.11 NASA Research Announcement (NRA). A general research opportunity that solicits relatively non-specific research, technology, or education projects that are funded by NASA's yearly, ongoing budgets.
- 3.12 Non-conflicted Reviewer. Scientific peers who have no real or apparent financial interests, institutional affiliations, professional biases and associations, or familiar relationships with NRA proposers or their institutions.
- 3.13 Notice of Intent. A notice submitted by a potential investigator indicating the intent to submit a proposal in response to an NRA.
- 3.14 NPRS. NASA (Headquarters) Peer Review Services (contractor).
- 3.15 OSS. NASA Headquarters Office of Space Science.
- 3.16 Peer Review. The process of proposal review utilizing a group of the proposers' peers (by mail and/or meeting in panel), in accordance with the evaluation criteria stated in an NRA.
- 3.17 Principal Investigator. A person who proposes an investigation and is responsible for carrying it out and reporting its results.
- 3.18 Program Executive. In accordance with delegation authority from the AA for Space Science, responsible for: providing program policy, strategy, and standards that support OSS goals and standards; determining program objectives, goals, and requirements; approving principal program documents; allocating funds to ensure successful implementation of the program; and assessing program performance.

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**3. DEFINITIONS** *(concluded)*

- 3.19 Program Scientist. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: providing science policy, strategy, and standards that support OSS goals and standards; determining science objectives, goals, and requirements; approving principal program documents; providing science leadership for the program; and assessing science performance.
- 3.20 Research Program Plan. This plan includes a listing of all proposals from the current NRA recommended for selection or rejection, along with all continuing multi-year tasks and the required funding for each. This document fulfills the "selection statement" requirement in NFS Part 1835.016-71(d)(6).
- 3.21 TMC. The series of Technical, Management, and Cost evaluation factors against which proposals are graded (in addition to their scientific merit).

**4. REFERENCES**

- 4.1 ANSI/ISO/ASQC Q9001-1994  
American National Standard, Quality Systems -- Model for  
Quality Assurance in Design, Development, Production,  
Installation, and Servicing
- 4.2 HCP1400-1 Document and Data Control  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HCP1400-1.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1400-1.html)]
- 4.3 HCP1280-2 Corrective and Preventive Action  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HCP1280-2.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-2.html)]
- 4.4 HCP1280-3 Internal Quality Audits  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HCP1280-3.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-3.html)]
- 4.5 HCP3410-4 Quality System Training  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HCP3410-4.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP3410-4.html)]

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**4. REFERENCES** *(continued)*

- 4.6 HQOWI7100-I003 Support of NASA Research Opportunities  
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HQOWI7100-I003.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQOWI7100-I003.html)
- 4.7 HQPC1150.1 NASA Headquarters Quality Council Policy Charter  
[\[http://nodis.gsfc.nasa.gov/Library/Directives/HQ/\]](http://nodis.gsfc.nasa.gov/Library/Directives/HQ/)
- 4.8 HQSM1200-1 NASA Headquarters Quality System Manual  
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HQSM1200-1.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQSM1200-1.html)
- 4.9 NFS 1835 NASA FAR Supplement "Research and Development Contracting"  
[\[http://www.hq.nasa.gov/office/procurement/regs/1835.htm\]](http://www.hq.nasa.gov/office/procurement/regs/1835.htm)
- 4.10 NFS 1852.235-72 NASA FAR Supplement "Instructions for Responding to NASA Research Announcements"  
[\[http://www.hq.nasa.gov/office/procurement/regs/5228-41.htm\]](http://www.hq.nasa.gov/office/procurement/regs/5228-41.htm)
- 4.11 NPD 1000.1 NASA Strategic Plan  
[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)
- 4.12 NPD 1360.2 Initiation and Development of International Cooperation in Space and Aeronautics Programs  
[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)
- 4.13 NPD 8730.3 NASA Quality Management System Policy (ISO 9000)  
[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=8\\_\\_\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=8__)
- 4.14 NPG 1000.2 NASA Strategic Management Handbook  
[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)
- 4.15 NPG 1000.3 The NASA Organization  
[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)
- 4.16 NPG 1441.1 NASA Records Retention Schedules (NRRS)  
[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)



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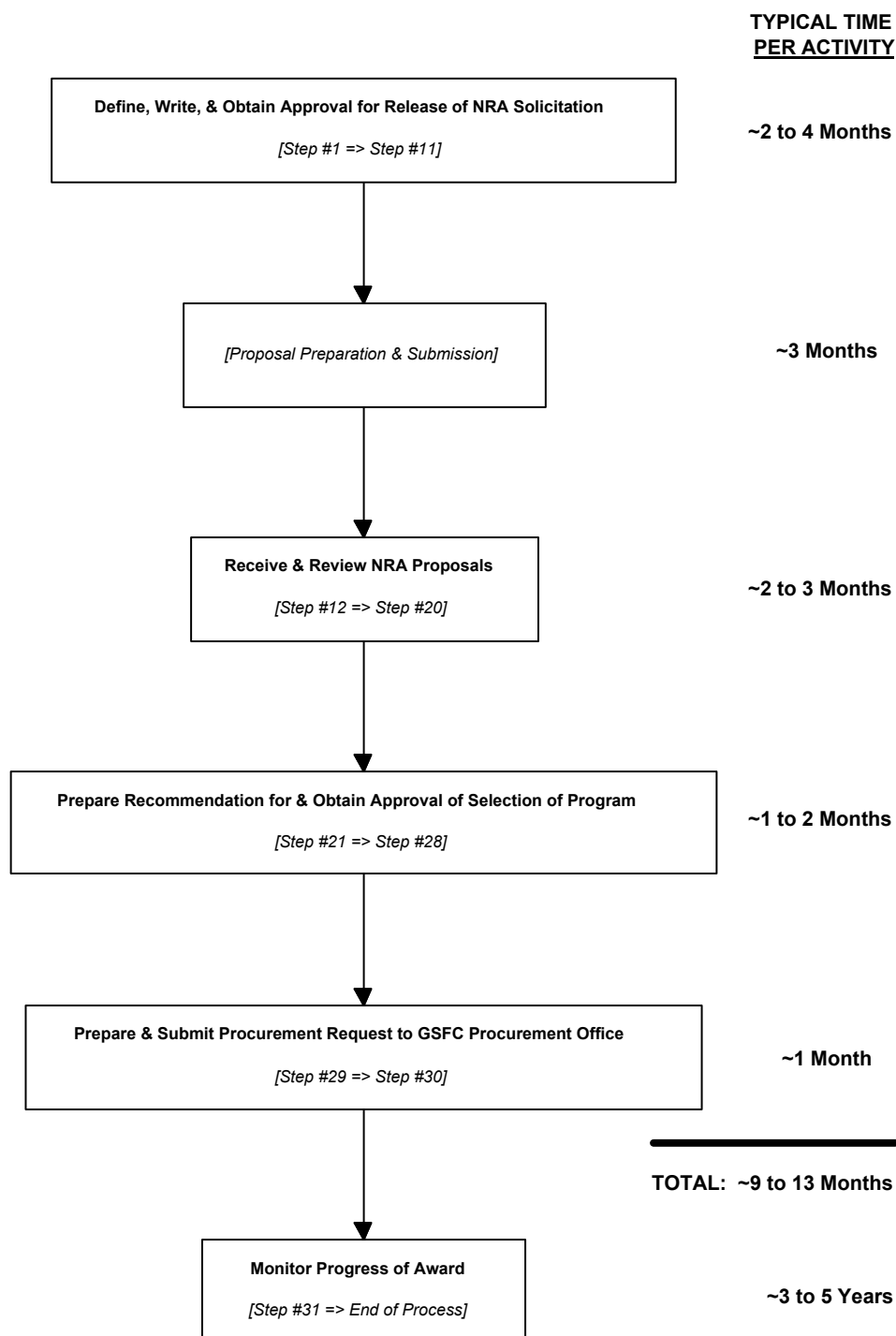
**4. REFERENCES** *(concluded)*

- 4.17 NPG 5800.1 Grant and Cooperative Agreement Handbook  
[[http://nodis3.gsfc.nasa.gov/library/displayDir.cfm?Internal\\_ID=N\\_PG\\_5800\\_001D\\_&page\\_name=main](http://nodis3.gsfc.nasa.gov/library/displayDir.cfm?Internal_ID=N_PG_5800_001D_&page_name=main)]
- 4.18 PN 97-34 NASA Procurement Notice "Implementing Foreign Proposals to NASA Research Announcements on a No-Exchange-of-Funds Basis"  
[<http://www.hq.nasa.gov/office/procurement/regs/pn97-34.html>]
- 4.19 NASA Budget
- 4.20 NASA Guidebook for Proposers Responding to a NASA Research Announcement (NRA)  
[<http://www.hq.nasa.gov/office/procurement/nraguidebook/>]

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### 5. FLOWCHART

#### 5.1 Overview Flowchart

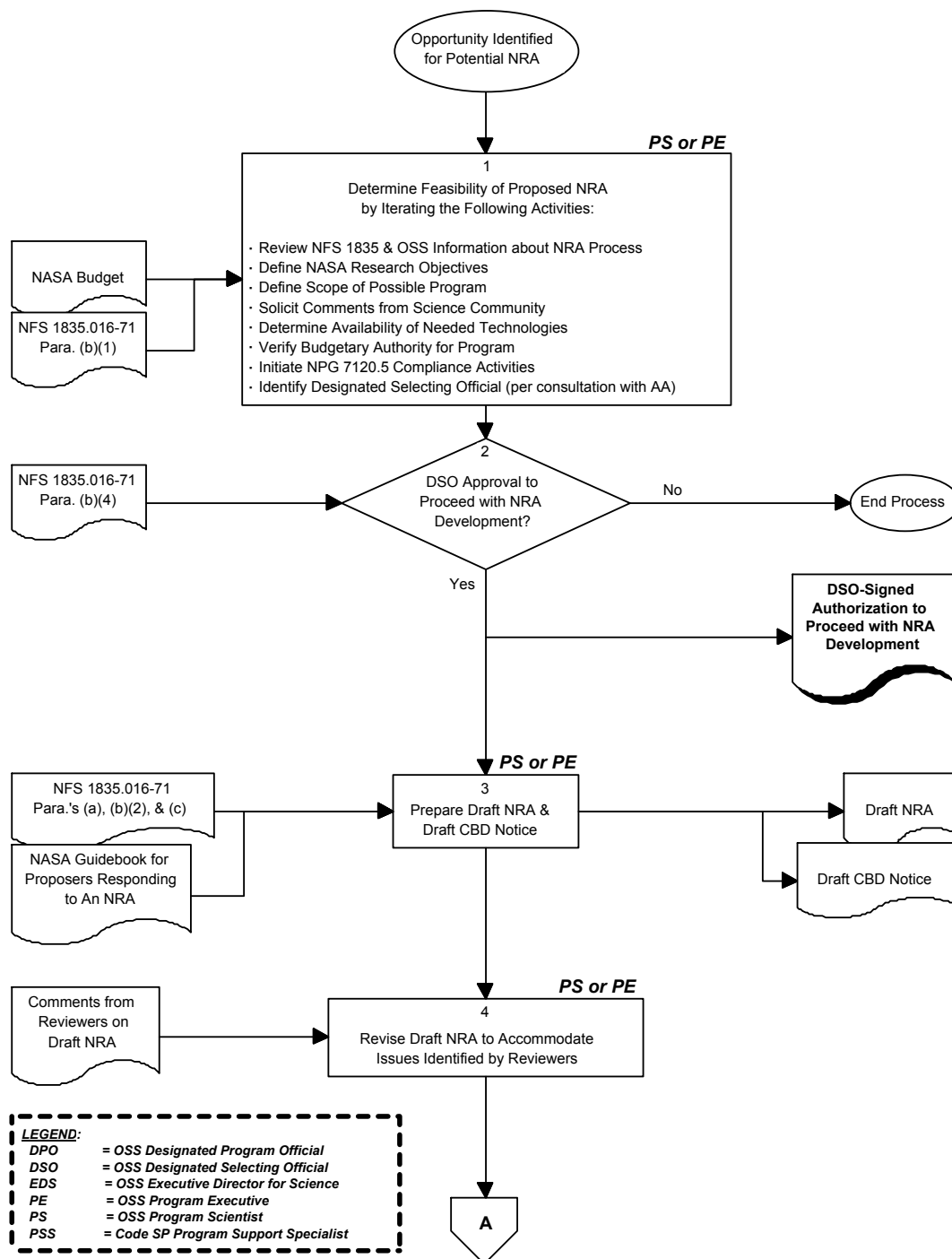


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### 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC subprocesses)

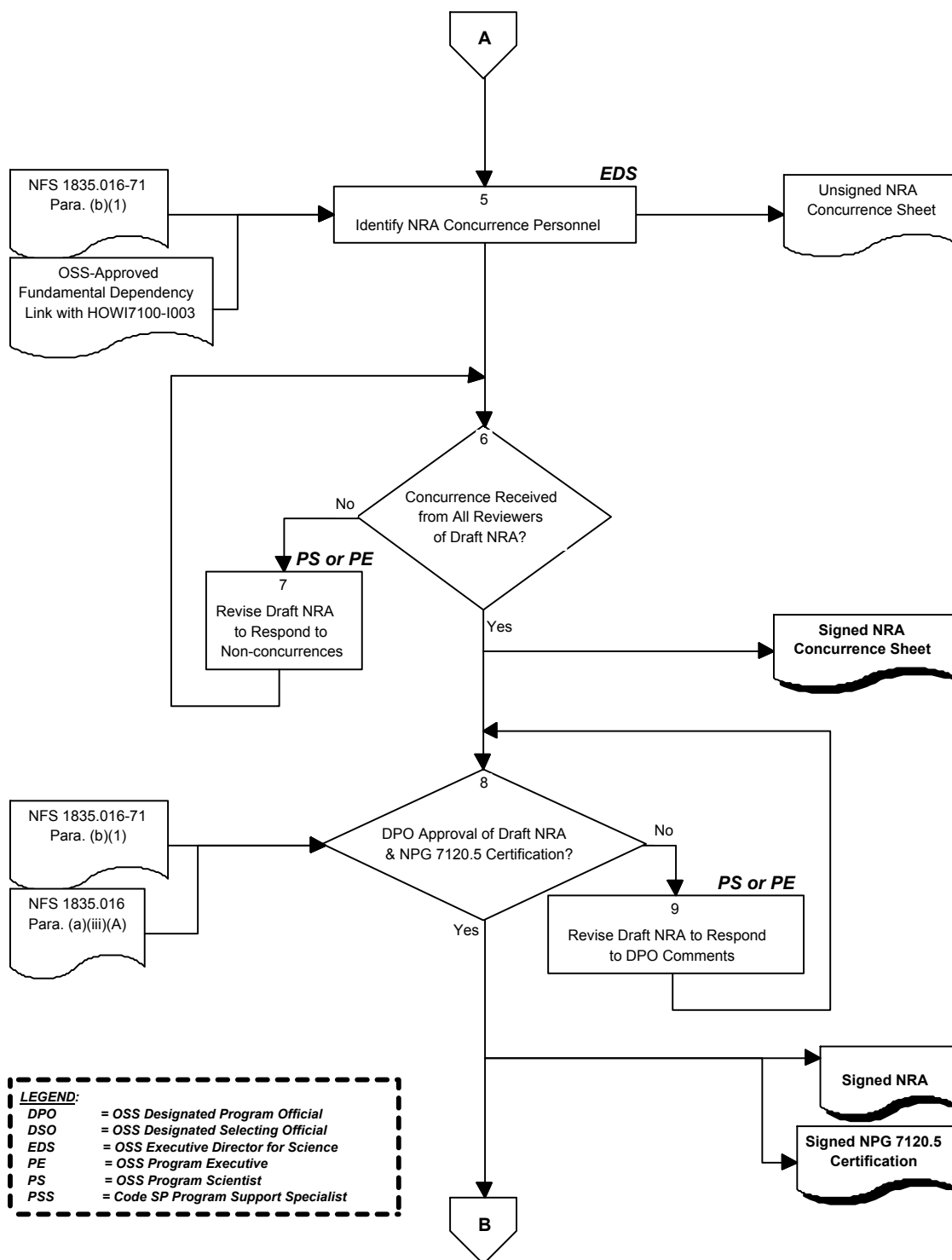
[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]



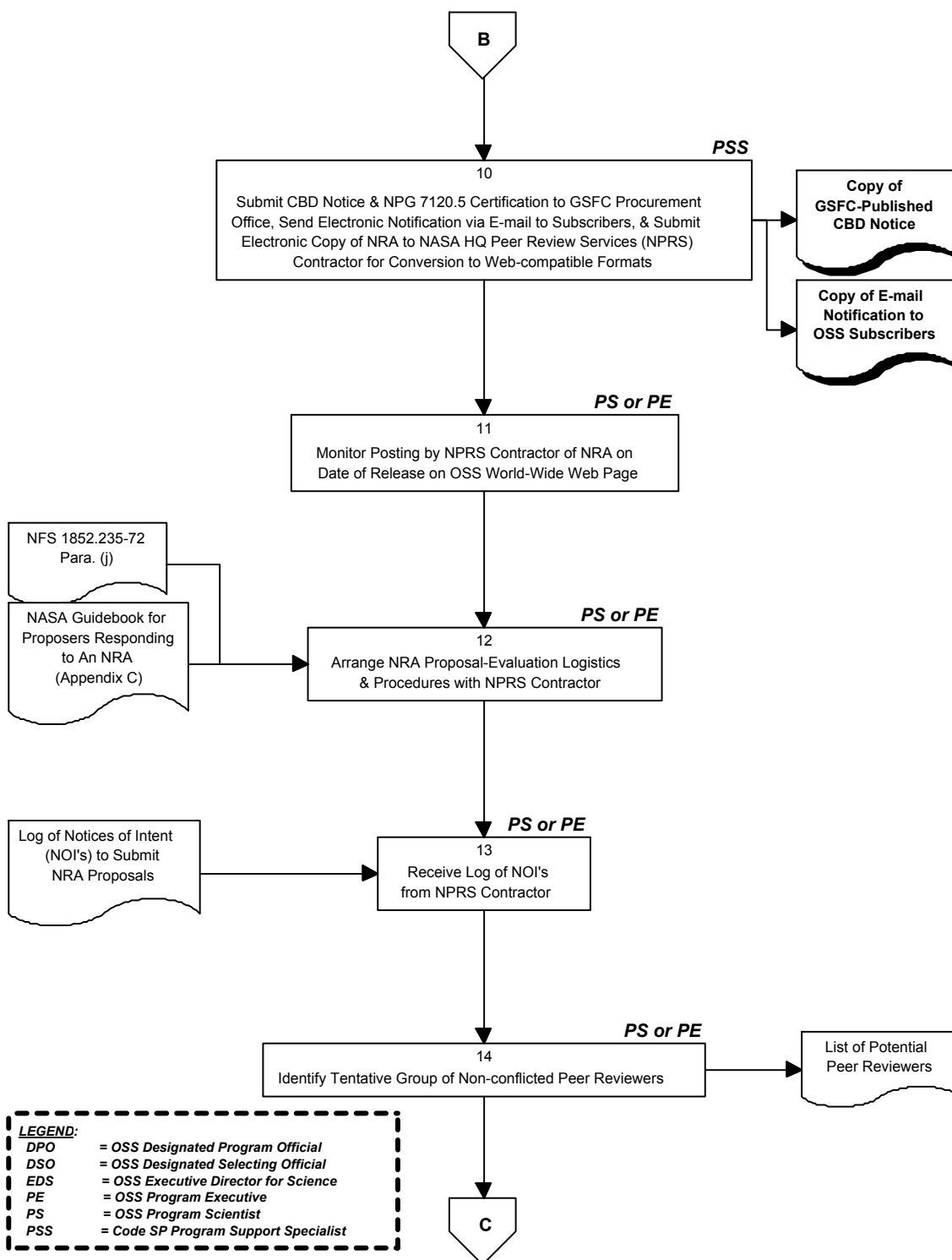
## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC subprocesses) (continued)



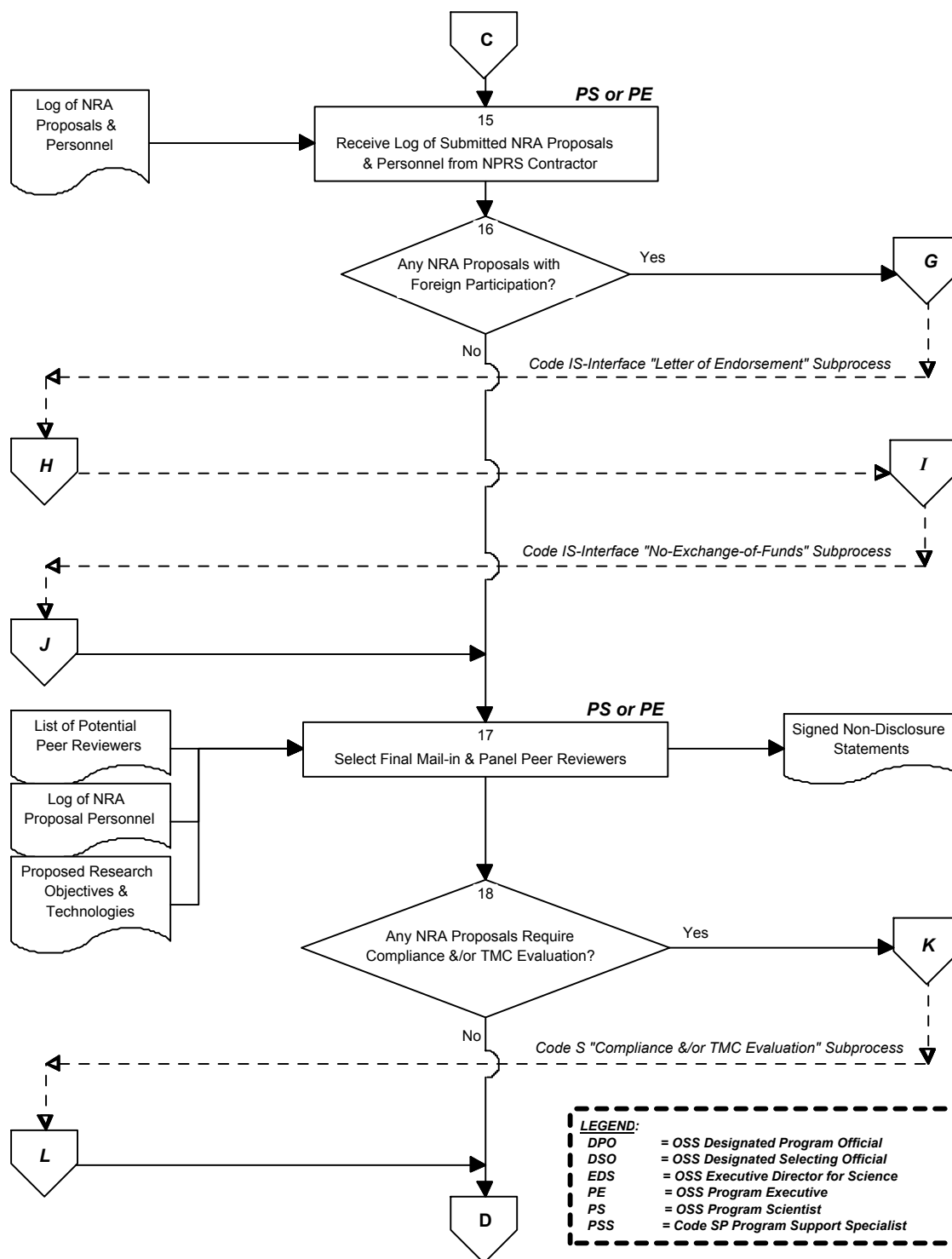
## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC subprocesses) (continued)



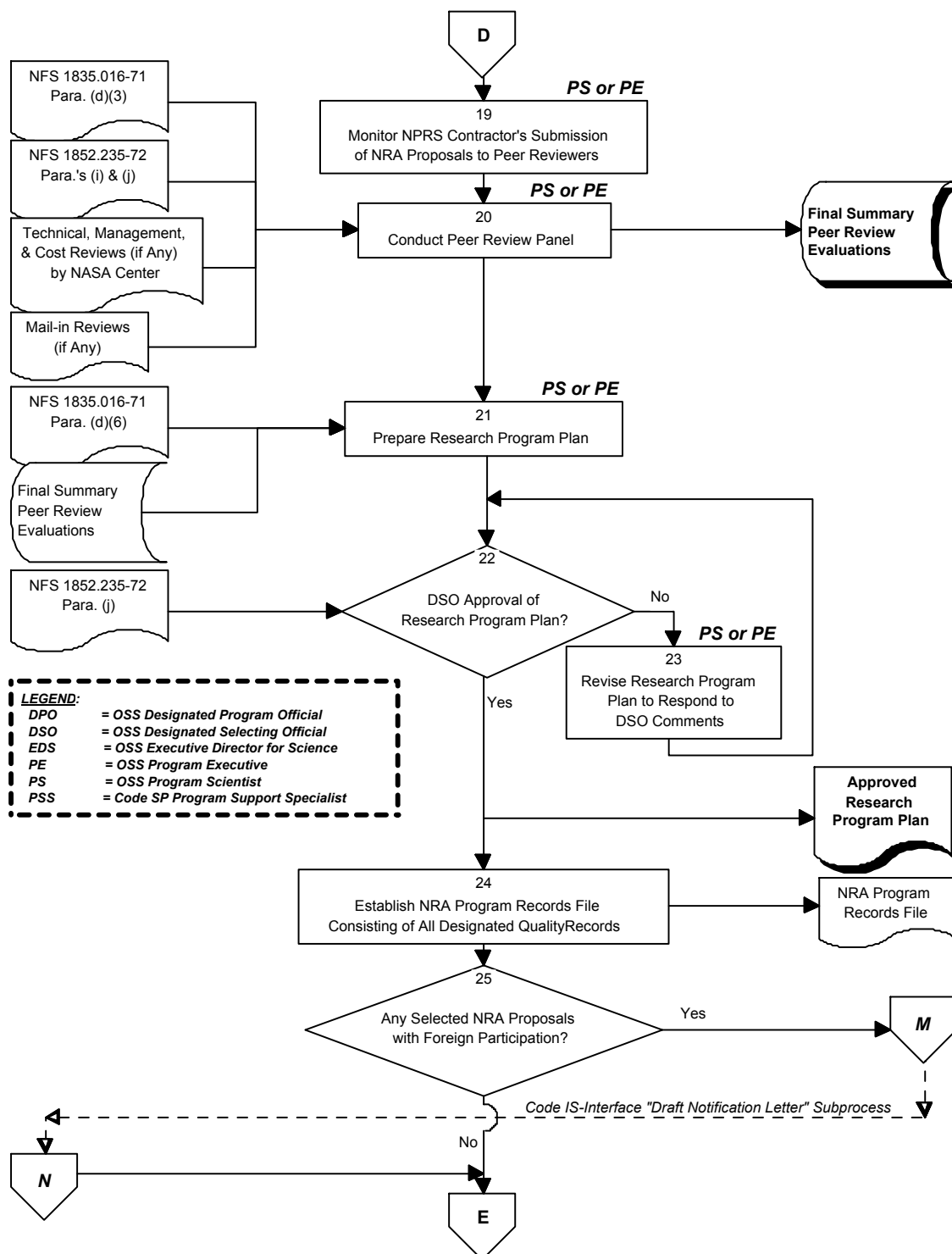
## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC subprocesses) (continued)



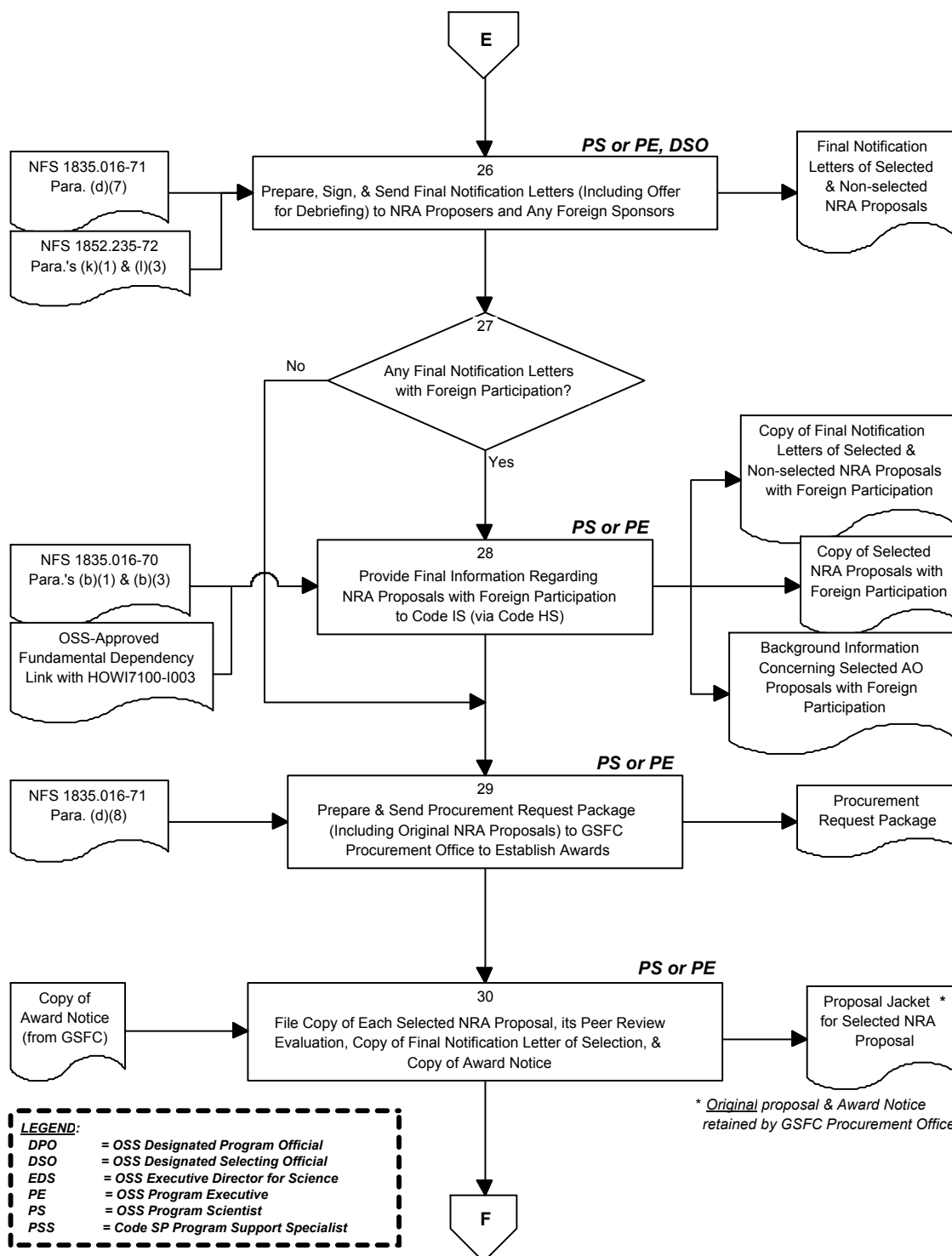
## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC subprocesses) (continued)



## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC subprocesses) (continued)



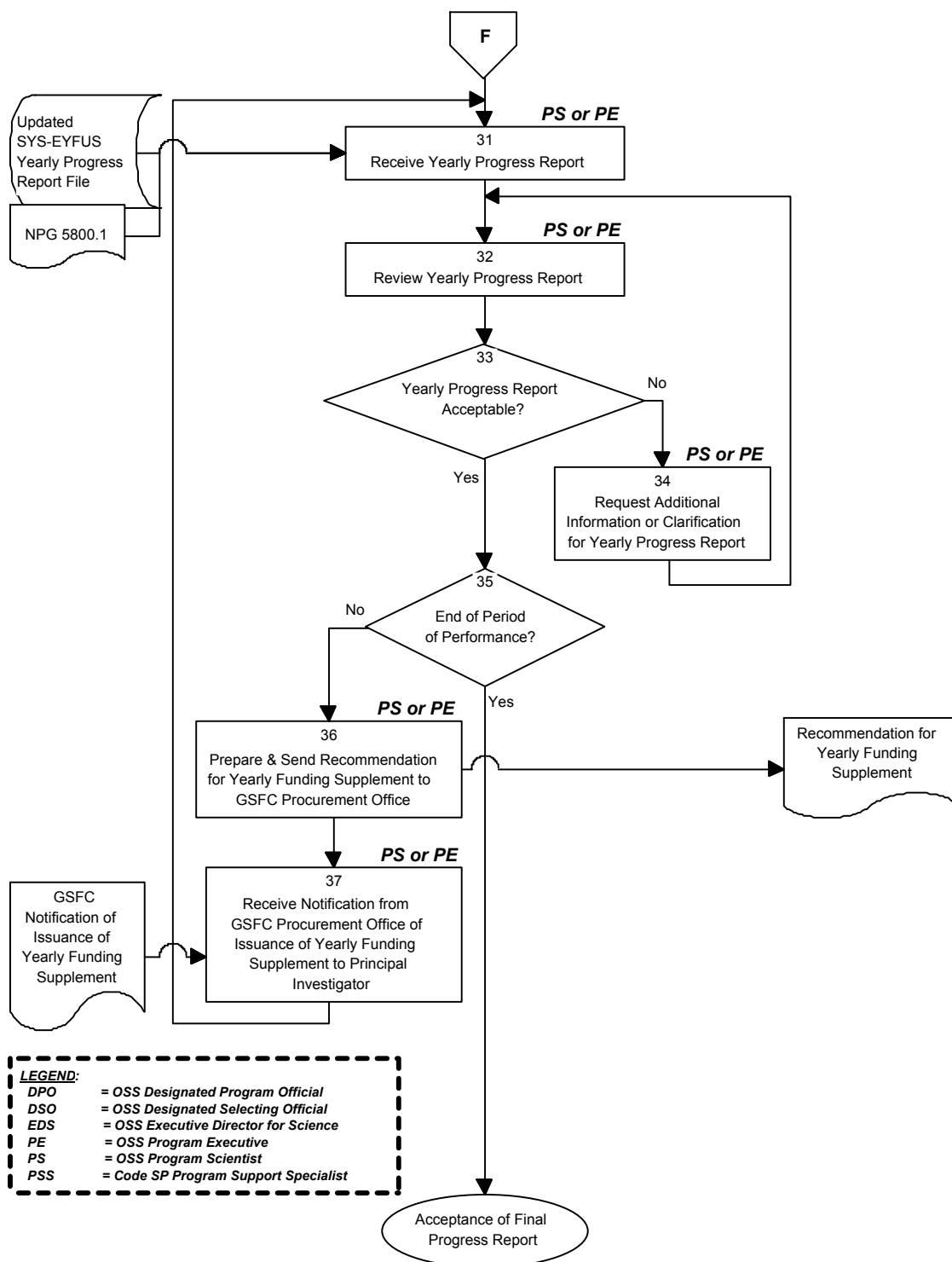


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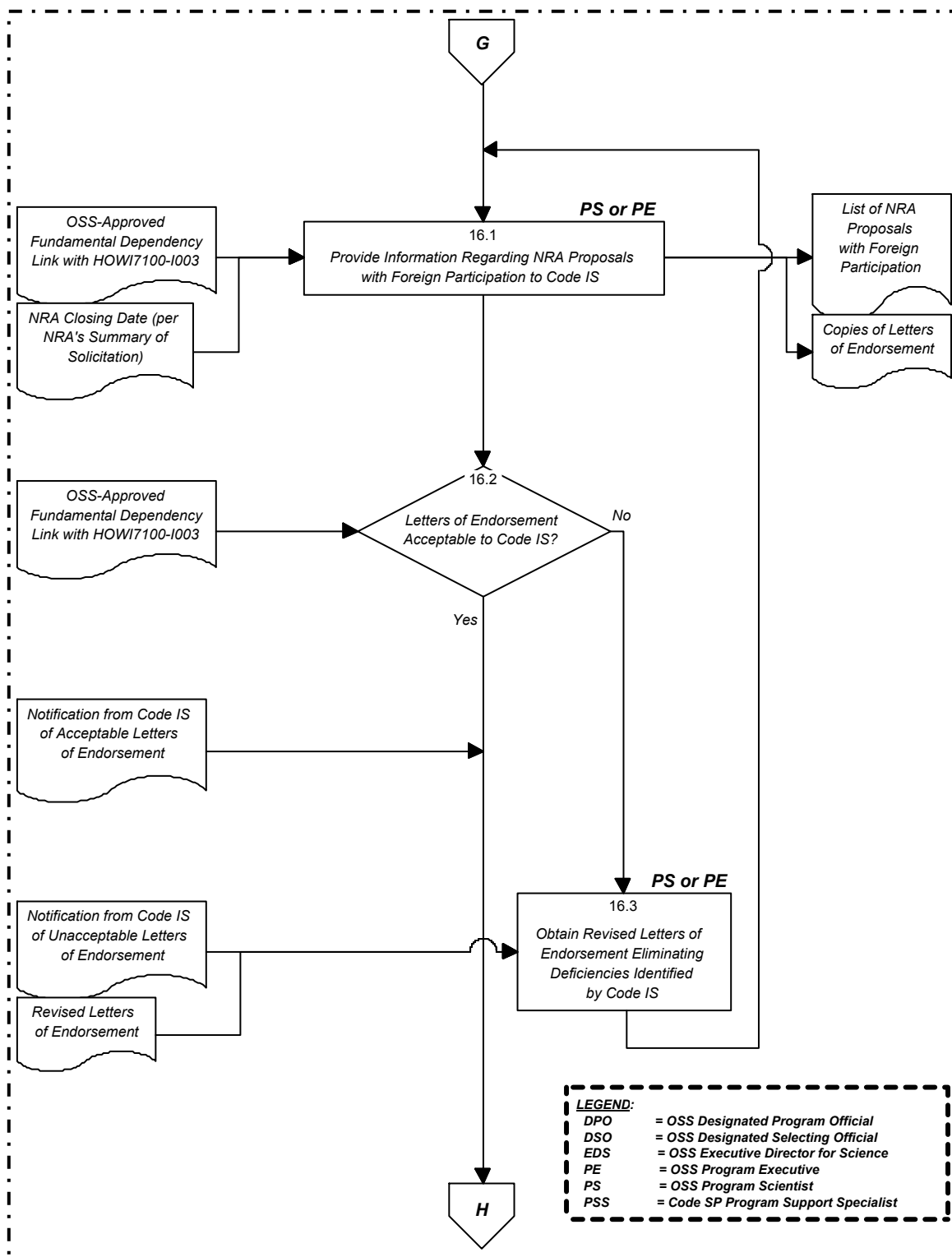
## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC subprocesses) (concluded)



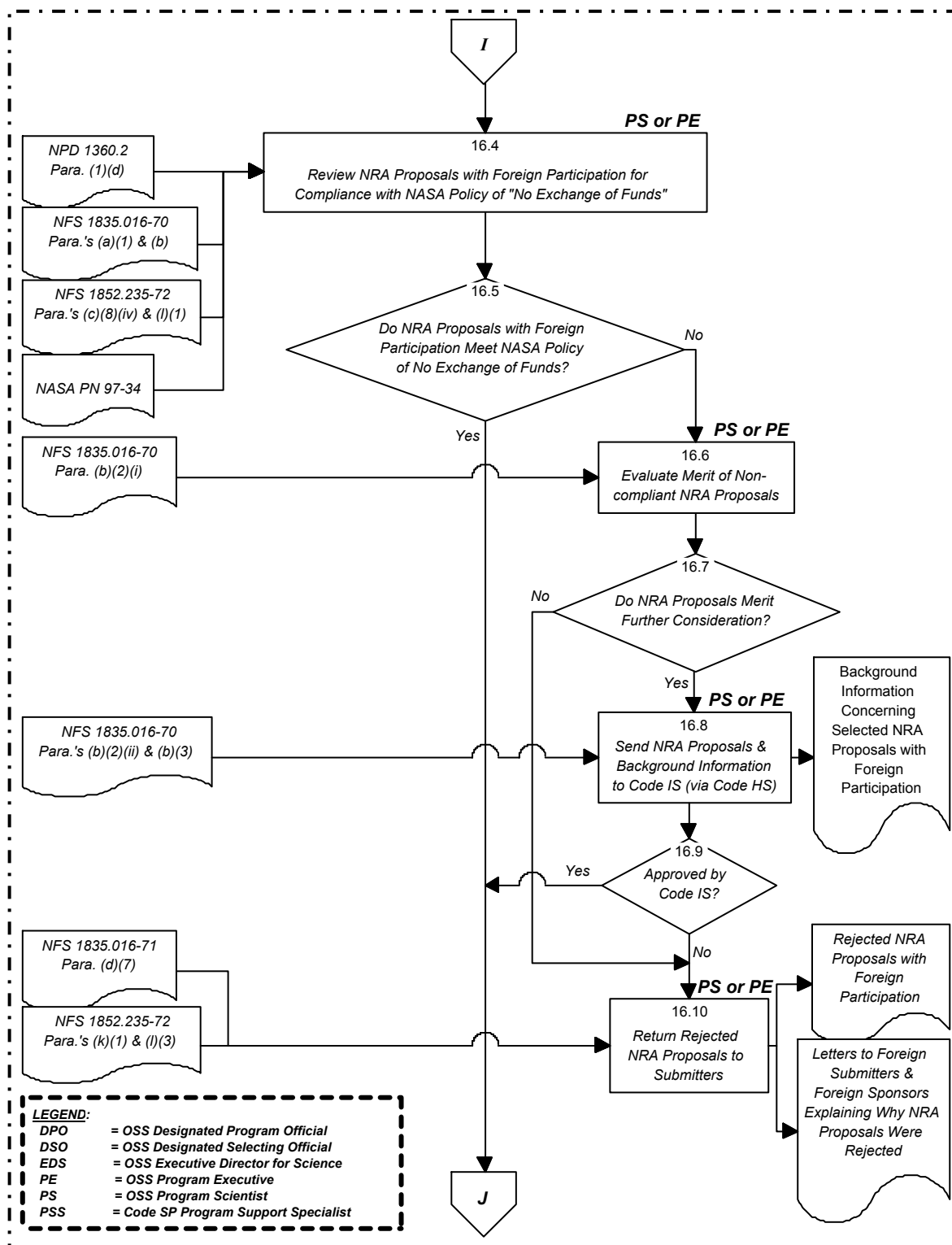
## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.3 Code IS-Interface "Letter of Endorsement" Subprocess Flowchart



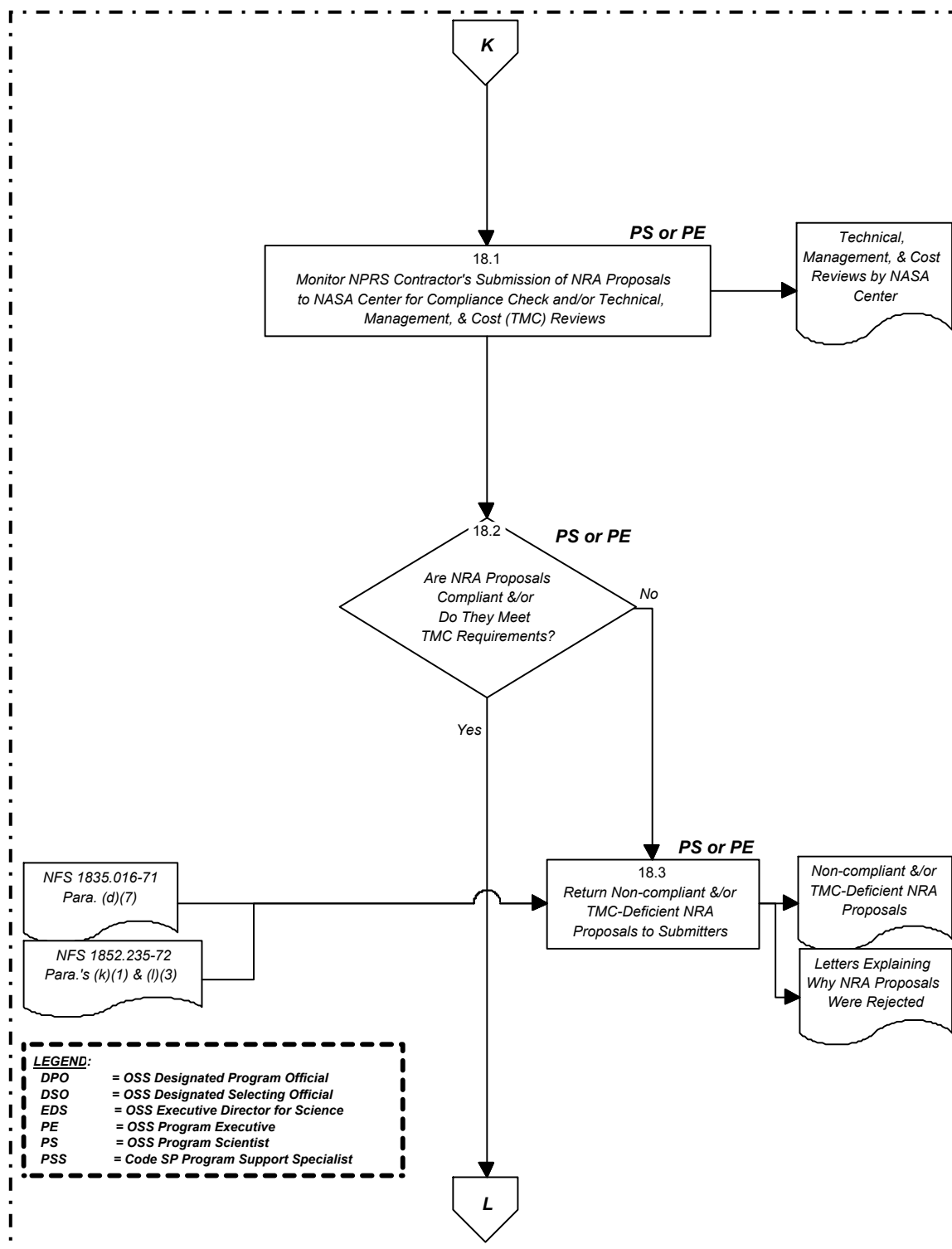
## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.4 Code IS-Interface "No-Exchange-of-Funds" Subprocess Flowchart



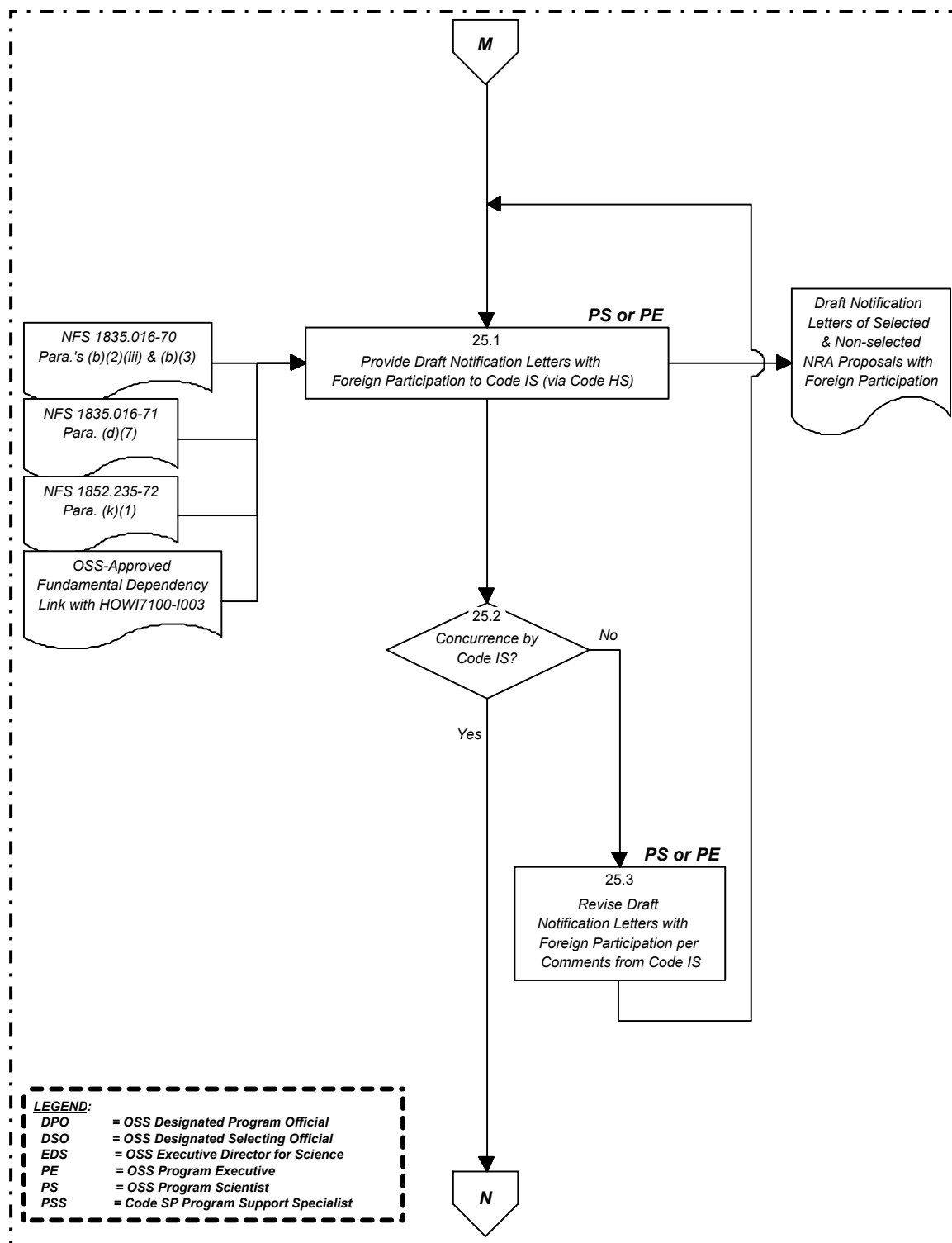
## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 5.5 Code S "Compliance &/or TMC Evaluation" Subprocess Flowchart



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### 5.6 Code IS-Interface "Draft Notification Letter" Subprocess Flowchart



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**6. PROCEDURE**

*[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
		<i>This process is initiated when an opportunity is identified for potential creation of a new NRA.</i>
1	Program Scientist or Program Executive	Determine the feasibility of a proposed NRA by iterating the following activities: <ul style="list-style-type: none"><li>• Review NASA FAR Supplement Part 1835 &amp; OSS information about the NRA process</li><li>• Define NASA research objectives</li><li>• Define the scope of a possible program</li><li>• Solicit comments from the science community</li><li>• Determine the availability of needed technologies</li><li>• Verify budgetary authority for the program</li><li>• Initiate NPG 7120.5 compliance activities</li><li>• Identify the Designated Selecting Official (per consultation with the Associate Administrator for Space Science, in accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (b)(1)])</li></ul>
		<i>[NOTE: These activities occur in parallel in an iterative manner.]</i>
2		In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (b)(4)], if the Designated Selecting Official (who may be the cognizant Director of Code SE, Code SS, or Code SZ) signs the authorization to proceed with development of the NRA (which is created by the Program Scientist or the Program Executive) and designates the cognizant Program Scientist (for science-related research) or Program Executive (for technology-related research), proceed to Step #3. If authority to proceed is denied, end the process.

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**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
3	Program Scientist or Program Executive	In accordance with NASA FAR Supplement Part 1835.016-71 [paragraphs (a), (b)(2), and (c)] and the "NASA Guidebook for Proposers Responding to a NASA Research Announcement (NRA)", prepare the draft NRA and the draft notice summarizing the purpose and content of the NRA for publication via the <i>Commerce Business Daily</i> (CBD).
4	Program Scientist or Program Executive	In accordance with the content of the draft NRA, solicit comments and recommendations from cognizant personnel within Code S (at a minimum, the OSS Executive Director for Science), Code IS, Code HS, and Code GK. Revise the draft NRA to incorporate the results of this review.
5	Executive Director for Science	In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (b)(1)] and an OSS-approved fundamental-dependency link with HQOWI7100-I003, select NASA Headquarters personnel to review the draft NRA in accordance with the subject matter of the NRA (i.e., cognizant OSS personnel plus, at a minimum, Code IS, Code HS, and Code GK). Create an NRA Concurrence Sheet to document the results of this review. Provide the draft NRA to each reviewer identified on the NRA Concurrence Sheet.
6		If all reviewers of the draft NRA have concurred upon it and have signed the NRA Concurrence Sheet, proceed to Step #8. If any reviewer has non-concurred upon the draft NRA, proceed to Step #7.
7	Program Scientist or Program Executive	Revise the draft NRA to address the issues identified via any non-concurrences received, and repeat the review cycle at Step #6.

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**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
8		In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (b)(1)] and NASA FAR Supplement Part 1835.016 [paragraph (a)(iii)(A)], if the Designated Program Official (e.g., the Associate Administrator for Space Science or the designated cognizant Director of Code SE, Code SS, or Code SZ) approves and signs the NRA and the NPG 7120.5 Certification document, proceed to Step #10. If not, proceed to Step #9.
9	Program Scientist or Program Executive	Revise the draft NRA in accordance with the comments provided by the Designated Program Official, and repeat the review cycle at Step #8.
10	Code SR Program Support Specialist	Send the <i>Commerce Business Daily</i> (CBD) Notice and the NPG 7120.5 Certification document to the Goddard Space Flight Center (GSFC) Procurement Office, which then publicly announces the forthcoming NRA via the CBD at least fifteen calendar days prior to formal release of the NRA. Send the notice through the OSS Electronic Notification System to all subscribers. Submit an electronic copy of the NRA to the NASA Headquarters Peer Review Services (NPRS) Contractor for conversion into Web-compatible formats.
11	Program Scientist or Program Executive	The NPRS Contractor posts the NRA on its advertised date of release on the OSS World-Wide Web home page. The Program Scientist or Program Executive verifies compliance with this requirement and notifies the NPRS Contractor to correct any instances of noncompliance.



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**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
12	Program Scientist or Program Executive	Arrange with the NPRS Contractor the NRA proposal-evaluation logistics and procedures (at a minimum, the timeline for activities, format of the peer-review forms, use of mail-in reviews, and details of logistics for the peer-review panels) in accordance with NASA FAR Supplement Part 1852.235-72 [paragraph (j)] and with Appendix C of the "NASA Guidebook for Proposers Responding to a NASA Research Announcement (NRA)".
13	Program Scientist or Program Executive	Receive from the NPRS Contractor a log of Notices of Intent (NOI's) to submit NRA proposals. OSS requests all interested proposers to submit NOI's. Although these NOI's are not mandatory, they facilitate OSS selection of non-conflicted peer reviewers of submitted proposals.
14	Program Scientist or Program Executive	Prepare a list of a tentative group of non-conflicted Peer Reviewers of proposals that are expected to be submitted in response to the NRA, based upon NOI's and upon research areas expected in proposals.
15	Program Scientist or Program Executive	Receive from the NPRS Contractor a log of all submitted NRA proposals and associated personnel.
16		If any of the NRA proposals involve foreign participation, proceed to Step #16.1. If not, proceed to Step #17.

## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 6. PROCEDURE *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
---------------	----------------------------	--------------------

#### Code IS-Interface "Letter of Endorsement" Subprocess

- |      |  |   |
|------|--|---|
| 16.1 | Program Scientist or Program Executive | In accordance with an OSS-approved fundamental-dependency link with HQOWI7100-I003, provide a list of all NRA proposals with foreign participation and copies of the associated Letters of Endorsement to Code IS after the closing date of the NRA (as specified in the NRA's Summary of Solicitation).  |
| 16.2 |  | If Code IS notifies the OSS Program Scientist or Program Executive that the Letters of Endorsement are acceptable, proceed to Step #16.4. If Code IS notifies the OSS Program Scientist or Program Executive that one or more of the Letters of Endorsement are unacceptable (in accordance with an OSS-approved fundamental-dependency link with HQOWI7100-I003), proceed to Step #16.3. |
| 16.3 | Program Scientist or Program Executive | Contact the foreign-sponsor author of each Letter of Endorsement that is unacceptable to Code IS, negotiate receipt by OSS of a revised Letter of Endorsement that eliminates the deficiency(ies) identified by Code IS, and resubmit the revised Letter of Endorsement for review by Code IS at Step #16.1.  |

#### Code IS-Interface "No-Exchange-of-Funds" Subprocess

- |      |  |   |
|------|--|---|
| 16.4 | Program Scientist or Program Executive | Review the NRA proposals with foreign participation for compliance with the NASA policy of "no exchange of funds" as stated in NPD 1360.2 [paragraph (1)(d)], NASA FAR Supplement Part 1835.016-70 [paragraphs (a)(1) and (b)], NASA FAR Supplement Part 1852.235-72 [paragraphs (c)(8)(iv) and (l)(1)], and NASA Procurement Notice 97-34. |
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## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 6. PROCEDURE *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
<b><u>Code IS-Interface “No-Exchange-of-Funds” Subprocess (concluded)</u></b>		
16.5		<i>If an NRA proposal with foreign participation meets the NASA policy of “no exchange of funds”, proceed to Step #17. If not, proceed to Step #16.6.</i>
16.6	<i>Program Scientist or Program Executive</i>	<i>In accordance with NASA FAR Supplement Part 1835.016-70 [paragraph (b)(2)(i)], evaluate whether NRA proposals with foreign participation that do not meet the NASA policy of “no exchange of funds” merit further consideration.</i>
16.7		<i>If a non-compliant NRA proposal with foreign participation merits further consideration, proceed to Step #16.8; if not, proceed to Step #16.10.</i>
16.8	<i>Program Scientist or Program Executive</i>	<i>In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(2)(ii) and (b)(3)], send to Code IS (via Code HS) for review: (a) NRA proposals with foreign participation that do not currently meet the NASA policy of “no exchange of funds” but nevertheless merit further consideration, and (b) background information concerning the selected NRA proposals with foreign participation.</i>
16.9		<i>If an NRA proposal is approved by Code IS as being worthy of further consideration in spite of its not currently meeting the NASA policy of “no exchange of funds”, proceed to Step #17. If not, proceed to Step #16.10.</i>
16.10	<i>Program Scientist or Program Executive</i>	<i>In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(7)] and NASA FAR Supplement Part 1852.235-72 [paragraphs (k)(1) and (l)(3)], return rejected NRA proposals with foreign participation to their submitters, with letters explaining why the proposals are unacceptable. Send copies of the rejection letters to the cognizant foreign sponsors.</i>

## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 6. PROCEDURE *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
17	Program Scientist or Program Executive	Select the final mail-in reviewers and Peer Review panel members, based upon the list of potential Peer Reviewers created at Step #14, the log of NRA proposal personnel, and the proposed research objectives and technologies. Obtain a signed Non-Disclosure Statement from each selected reviewer.
18		If any NRA proposals require compliance and/or Technical, Management, and Cost (TMC) evaluation, proceed to Step #18.1. If not, proceed to Step #19.

#### **Code S "Compliance &/or TMC Evaluation" Subprocess**

18.1	Program Scientist or Program Executive	<i>In accordance with the content of the received NRA proposals, monitor the NPRS Contractor's activity of sending the proposals to a NASA Center to check on their compliance with requirements stated in the NRA and/or to conduct TMC reviews of the proposals.</i>
18.2	Program Scientist or Program Executive	<i>Based upon the results of the activity in Step #18.1, if the Program Scientist or Program Executive determines that an NRA proposal is not compliant with the requirements stated in the NRA or that it does not meet TMC requirements, proceed to Step #18.3. For compliant and non-deficient NRA proposals, proceed to Step #19.</i>
18.3	Program Scientist or Program Executive	<i>In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(7)] and NASA FAR Supplement Part 1852.235-72 [paragraphs (k)(1) and (l)(3)], return non-compliant and/or TMC-deficient NRA proposals to their submitters, with letters explaining why the proposals are unacceptable. If a non-compliant or deficient NRA proposal involves foreign participation, send a copy of the rejection letter to the cognizant foreign sponsor.</i>

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**Subject: NASA Research Announcement (NRA) for R&A Investigations**

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**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
19	Program Scientist or Program Executive	Monitor the NPRS Contractor's activity of sending copies of NRA proposals to selected Peer Reviewers. Some of these reviewers may conduct a "remote" review and submit their evaluations via postal or electronic mail. Other reviewers will participate in an "on-site" Peer Review Panel.
20	Program Scientist or Program Executive	In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(3)], NASA FAR Supplement Part 1852.235-72 [paragraphs (i) and (j)], and the NRA proposal-evaluation logistics and procedures generated at Step #12, conduct the Peer Review Panel to review and evaluate each NRA proposal. Any TMC review inputs (generated in Step #18.1) from a NASA Center are examined by the Peer Review Panel. The Panel incorporates the inputs submitted from any mail-in reviewers into a set of final summary peer-review evaluations for the proposals. These evaluations are entered into the NASA Headquarters SYS-EYFUS electronic database by the NPRS Contractor.
21	Program Scientist or Program Executive	In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(6)] and the results of the final summary peer review evaluations, prepare the Research Program Plan (i.e., "selection statement"), and present it to the OSS Designated Selecting Official.
22		In accordance with NASA FAR Supplement Part 1852.235-72 [paragraph (j)], if the OSS Designated Selecting Official approves the Research Program Plan (via signature within the document), proceed to Step #24. If not, proceed to Step #23.
23	Program Scientist or Program Executive	Revise the Research Program Plan to address the issues identified by the OSS Designated Selecting Official, and repeat the review cycle at Step #22.

## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 6. PROCEDURE *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
24	Program Scientist or Program Executive	Establish an NRA Program Records File consisting of all NRA-related quality records listed in Section 7 of this Office Work Instruction (OWI).
25		If any of the selected NRA proposals involve foreign participation, proceed to Step #25.1. If not, proceed to Step #26.

#### **Code IS-Interface “Draft Notification Letter” Subprocess**

25.1	Program Scientist or Program Executive	<i>In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(2)(iii) and (b)(3)], NASA FAR Supplement Part 1835.016-71 [paragraph (d)(7)], NASA FAR Supplement Part 1852.235-72 [paragraph (k)(1)], and an OSS-approved fundamental-dependency link with HQOWI7100-I003, provide draft OSS notification letters of selected and non-selected NRA proposals with foreign participation to Code IS (via Code HS) for review prior to sending the letters to the cognizant proposers and their foreign sponsors.</i>
25.2		<i>If Code IS concurs with the content of draft OSS notification letters of selected and non-selected NRA proposals with foreign participation, proceed to Step #26. If not, proceed to Step #25.3.</i>
25.3	Program Scientist or Program Executive	<i>Revise the draft OSS notification letters of selected and non-selected NRA proposals with foreign participation in accordance with issues raised by Code IS via its non-concurrence, and repeat the review cycle at Step #25.1.</i>



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**Subject: NASA Research Announcement (NRA) for R&A Investigations**

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**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
26	Program Scientist or Program Executive Designated Selecting Official	In accordance with NFS 1835.016-71 [paragraph (d)(7)] and NASA FAR Supplement Part 1852.235-72 [paragraphs (k)(1) and (l)(3)], the Program Scientist or Program Executive prepares and the OSS Designated Selecting Official signs the final notification letters of selected and non-selected NRA proposals. These letters either include an offer to provide a debriefing of the reasons why a given proposal was selected or not selected, or incorporate a copy of the final summary peer-review evaluation for the proposal. The Program Scientist or Program Executive sends one of these letters to each NRA proposal submitter (and to the foreign sponsor of any NRA proposal with foreign participation).
27		If any OSS final notification letters of selected and non-selected NRA proposals involve proposals with foreign participation, proceed to Step #28. If not, proceed to Step #29.
28	Program Scientist or Program Executive	In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(1) and (b)(3)] and an OSS-approved fundamental-dependency link with HQOWI7100-I003, provide to Code IS (via Code HS) a copy of OSS final notification letters of selected and non-selected NRA proposals with foreign participation, a copy of selected NRA proposals with foreign participation, and background information concerning the selected NRA proposals with foreign participation.
29	Program Scientist or Program Executive	In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(8)], prepare the Procurement Request package (incorporating the original selected NRA proposals). Send the Procurement Request package to the Procurement Office at the Goddard Space Flight Center (GSFC), which issues the signed Award Notice (in accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (e)]) and returns a copy of it to OSS.

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**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
30	Program Scientist or Program Executive	File a copy of each selected NRA proposal, its peer-review evaluation, a copy of its final notification letter of selection, and a copy of its Award Notice in a Proposal Jacket. (The <u>original</u> selected NRA proposal and its Award Notice are retained by the GSFC Procurement Office.)
31	Program Scientist or Program Executive	In accordance with NPG 5800.1, at a minimum of 60 calendar days prior to the anniversary date of the award of a program resulting from an NRA, receive a Yearly Progress Report from the Principal Investigator via the NASA Headquarters SYS-EYFUS electronic database.
32	Program Scientist or Program Executive	Monitor and evaluate the progress of the awarded program by reviewing the Yearly Progress Report.
33		If the Yearly Progress Report is acceptable to the Program Scientist or Program Executive, proceed to Step #35. If not, proceed to Step #34.
34	Program Scientist or Program Executive	Request that the Principal Investigator provide additional information or clarification regarding the submitted Yearly Progress Report, and repeat the review cycle at Step #32.
35		If the program has reached the end of its period of performance, the Program Scientist or Program Executive ends the process by accepting the Final Progress Report. If not, proceed to Step #36.



## Subject: NASA Research Announcement (NRA) for R&A Investigations

### 6. PROCEDURE *(concluded)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
36	Program Scientist or Program Executive	Prepare a recommendation for award to the Principal Investigator of a yearly funding supplement. Send this recommendation to the GSFC Procurement Office.
37	Program Scientist or Program Executive	Receive notification from the GSFC Procurement Office of its issuance of the yearly funding supplement to the Principal Investigator. Repeat Step #31 through Step #37 throughout the period of performance of the awarded program.

### 7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
DSO-signed Authorization to Proceed with NRA Development	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Signed NRA Concurrence Sheet	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Signed NASA Research Announcement (NRA)	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

10/26/2001

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### 7. QUALITY RECORDS *(concluded)*

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Signed NPG 7120.5 Certification	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Copy of GSFC-published <i>Commerce Business Daily</i> (CBD) Notice	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Copy of E-mail Notification to OSS Subscribers	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Final Summary Peer Review Evaluations	Code SP Program Support Specialist	SYS-EYFUS Database	Electronic	Schedule 7, Item 9A1	File documentation with the related grant or contract file; destroy accordingly.
Approved Research Program Plan	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant. Destroy when 6 years, 3 months old.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]